

VERIFIED STATEMENT (DECLARATION)

CLAIMING SMALL ENTITY STATUS

(37 CFR 1.9(f) and 1.27(c)) -

SMALL BUSINESS CONCERN

DOCKET NO: KO-33

I hereby declare that I am

- ☐ the owner of the small business concern identified below:
☐ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN: KBL Solarien AG

ADDRESS OF CONCERN: Ringstrasse 24 - 26, D-56307 Dernbach, Germany

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled METHOD AND CIRCUIT FOR OPERATING AN ELECTRICAL LIGHT by inventor(s) Norbert Becker described in

- ☒ the specification filed herewith
☐ application serial no. _____, filed _____
☐ patent no. _____, issued _____

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

FULL NAME: _____

ADDRESS: _____

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: _____

TITLE OF PERSON OTHER
THAN OWNER: _____

ADDRESS OF PERSON SIGNING: _____

SIGNATURE: _____

DATE: _____

NORBERT BECKER

TECHNICAL DIRECTOR

HOCHSTRASSE 2A ; 56581 KURTSCHIED

Norbert Becker

DEC 22, 1999

As a below named inventor, I hereby declare that:
My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: METHOD AND CIRCUIT FOR OPERATING AN ELECTRICAL LIGHT

the specification of which (check only one item below):

☐

is attached hereto.

☐

was filed as United States application

Serial No. _____

on _____

and was amended

on _____ (if applicable).

☒

was filed as PCT international application

Number PCT/DE98/00903

on March 28, 1998

and was amended under PCT Article 19

on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate or of any PCT international application(s) designating at least one country other than the United States of America listed below and have also identified below any foreign application(s) for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America filed by me on the same subject matter having a filing date before that of the application(s) of which priority is claimed:

PRIOR FOREIGN/PCT APPLICATION(S) AND ANY PRIORITY CLAIMS UNDER 35 U.S.C. 119:

COUNTRY (if PCT, indicate PCT)	APPLICATION NUMBER	DATE OF FILING (day, month, year)	PRIORITY CLAIMED UNDER 35 USC 119
GERMANY	197 14 416.0	8 April 1997	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) or PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of the application is not disclosed in that/those prior application(s) in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty of disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a) which occurred between the filing date of the prior application(s) and the national or PCT international filing date of this application:

PRIOR U.S. APPLICATIONS OR PCT INTERNATIONAL APPLICATIONS DESIGNATING THE U.S. FOR BENEFIT UNDER 35 U.S.C. 120:

U.S. APPLICATIONS		STATUS (CHECK ONE)		
U.S. APPLICATION NUMBER	U.S. FILING DATE	PATENTED	PENDING	ABANDONED
PCT APPLICATIONS DESIGNATING THE U.S.				
PCT APPLICATION NO.	PCT FILING DATE	U.S. SERIAL NO.		

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. (List name and registration number)

FRIEDRICH KUEFFNER, REG. NO. 29,482

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342 MADISON AVENUE, SUITE 1921
NEW YORK, N.Y. 10173

Direct Telephone Calls to:

FRIEDRICH KUEFFNER
(212) 986-3114

2 0 1	FULL NAME OF INVENTOR	<u>Family Name</u> <u>Becker</u>	<u>First Given Name</u> <u>Norbert</u>	<u>Second Given Name</u>
	RESIDENCE & CITIZENSHIP	<u>City</u> <u>Neuwied</u> DEX	<u>State Or Foreign Country</u> <u>Germany</u>	<u>Citizenship</u> <u>Germany</u>
	POST OFFICE ADDRESS	<u>Post Office Address</u> <u>Hochstrasse 2a</u>	<u>City</u> <u>56581 Neuwied</u>	<u>State & Zip Code</u> <u>Germany</u>

Combined Declaration For Patent Application and Power of Attorney (Continued)
(includes Reference to PCT International Applications)

Docket No.
KO-33

2	FULL NAME OF INVENTOR	<u>Family Name</u>	<u>First Given Name</u>	<u>Second Given Name</u>
0	RESIDENCE & CITIZENSHIP	<u>City</u>	<u>State Or Foreign Country</u>	<u>Citizenship</u>
2	POST OFFICE ADDRESS	<u>Post Office Address</u>	<u>City</u>	<u>State & Zip Code</u>

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0	RESIDENCE & CITIZENSHIP	<u>City</u>	<u>State Or Foreign Country</u>	<u>Citizenship</u>
3	POST OFFICE ADDRESS	<u>Post Office Address</u>	<u>City</u>	<u>State & Zip Code</u>

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

SIGNATURE OF INVENTOR 201

SIGNATURE OF INVENTOR 202

SIGNATURE OF INVENTOR 203

DATE

DATE

DATE

Dec 22, 1999